

NLRB-25

System name:

Case Activity Tracking System (CATS) and Associated Regional Office Files.

Security clearance:

None.

System location:

Records are stored on paper and electronic media at Agency Headquarters and the Regional Offices. See attached Appendix for addresses. Additionally, pursuant to the Agency's flexiplace and telecommuting programs, or due to official travel, CATS may also be accessed from alternative worksites via the Internet, including employees' homes. Associated Regional Office Files (or copies of such files) also may be temporarily located at alternative worksites. All appropriate safeguards will be taken at these sites.

Categories of individuals covered by the system:

Individual parties in unfair labor practice and representation cases before the Agency's Regional Offices; current and former Agency employees assigned to cases.

Categories of records in the system:

(1) Summary information of unfair labor practice and representation cases before the Regional Offices (such as names of parties, case status, and Agency personnel assignments) is maintained in the electronic case tracking system, CATS.

(2) Associated Regional Office Files are paper and electronic records established and maintained for processing unfair labor practice and representation proceedings before the Regional Offices. The paper records are administrative and court records (such as unfair labor practice charges, unfair labor practice complaints and answers, representation petitions, briefs, motions and orders), correspondence, legal research memoranda, and other related documents. These records include the names of parties and current and former Agency employees assigned to cases. Both CATS and the Associated Regional Office Files may include parties' home addresses and home telephone numbers, if such information is provided to the Agency. These records include civil investigatory and law enforcement information.

Authority for maintenance of the system:

29 U.S.C. 153(d), 159, 160, 161; 44 U.S.C. 3101; and the Government Performance and Results Act of 1993, Pub.L. 103-62, 107 Stat. 285 (codified in sections of Titles 5, 31, and 39 of the U.S. Code).

Purpose:

CATS is an electronic case tracking system used by the Division of Operations Management and the Regional Offices of the Agency to facilitate the accurate and timely collection, retrieval, and retention of information regarding unfair labor practice and representation cases handled by the Agency. The information and activities tracked by the system may be generated by the parties' filing of unfair labor practice charges, representation petitions, briefs, motions, and other documents, or by deliberative, analytical processes undertaken by the Agency's employees. This database stores current and historical information, and is used to generate data for managing the Agency's case processing and resources, creating the Agency's budget, preparing monthly and annual reports of casehandling activities, and providing requested statistical reports to the public. Limited information in CATS is exported into JCMS-PCL. The Associated Regional Office Files are paper files maintained to litigate or otherwise resolve matters handled by the Agency. The Associated Regional Office Files may be temporarily transferred to offices at Agency Headquarters, in order to aid in resolving cases handled by those offices. In addition, some Regional Office Files are electronically scanned and placed in an eRoom for the Agency's use in resolving cases. CATS and the Associated Regional Office Files may also be used to assist in evaluating Agency employee performance.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The standard routine uses applying to this system are listed in the General Prefatory Statement to this document.

Disclosure to consumer reporting agencies:

None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data is maintained on paper and electronic media.

Retrievability:

Data may be retrieved by names of individual parties in unfair labor practice and representation cases before the Agency's Regional Offices; names of current and former Agency employees assigned to those cases; as well as by non-personal identifiers, such as case numbers assigned by the Agency.

Safeguards:

Access to Agency working and storage areas is restricted to Agency employees who have a need to use the information in order to perform their duties, custodial personnel, Federal Protective Service personnel, and other contractor and security personnel. All other persons are required to be escorted in Agency areas. Regional Office Files are maintained in staffed or locked areas during working hours. The facilities are protected from unauthorized access during non-working hours by the Federal Protective Service or other security personnel. Those Agency employees who telecommute and may possess Regional Office Files (or copies of such files) at alternative worksites or who may access CATS from alternative worksites are instructed as to keeping such information in a secure manner.

Electronic system-based access controls are in place to prevent data misuse. Access to electronic information is controlled by administrators who determine users' authorized access based on each user's office and position within the office. Access criteria, procedures, controls, and responsibilities are documented and consistent with the policies stated in a memorandum titled "NLRB Access Control Standards, Password Management," and dated January 23, 2002. All network users are also warned at the time of each network login that the system is for use by authorized users only, and that unauthorized or improper use is a violation of law.

Retention and disposal:

CATS information will be retained and disposed of in accordance with appropriate Agency schedules that will be submitted to the National Archives and Records Administration (NARA) for its approval. Regional Office Files are disposed of in accordance with the Agency's Disposition Standards Records, as approved by NARA.

System manager address:

Associate General Counsel, Division of Operations Management, National Labor Relations Board, Room 10200, 1099 14th Street, NW., Washington, DC 20570-0001.

Notification procedure:

This system is exempt from this provision of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Records access procedure:

This system is exempt from this provision of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Contesting record procedure:

This system is exempt from this provision of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Records source categories:

This system is exempt from this provision of the Privacy Act pursuant to 5 U.S.C. 552a(k)(2).

Exemptions claimed for the system:

Pursuant to 5 U.S.C. 552a(k)(2), the Agency has exempted this system from the following provisions of the Privacy Act: 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4)(G), (e)(4)(H), (e)(4)(I), and (f).